



Attorney's Docket No. C0989.70017US00

Applicant or Patentee: Chan et al.
Serial or Patent No: 09/875,779
Filed or Issued: June 6, 2001
For: METHODS AND APPARATUS FOR
CHARACTERIZATION OF SINGLE POLYMERS

STATEMENT CLAIMING SMALL ENTITY STATUS

(Choose A, B, C or D)

A. ☒ SMALL BUSINESS

I am the owner or an official of the following small business empowered to act on behalf of the concern identified below.

The small business concern identified below qualifies as a small business concern as defined in 13 CFR 121.3-18, and reproduced in 37 CFR 1.9(d), for purposes of paying reduced fees under section 41(a) and (b) of Title 35, United States Code, in that the number of employees of the concern, including those of its affiliates, does not exceed 500 persons. For purposes of this statement, (1) the number of employees of the business concern is the average over the previous fiscal year of the concern of the persons employed on a full-time, part-time or temporary basis during each of the pay periods of the fiscal year, and (2) concerns are affiliates of each other when either, directly or indirectly, one concern controls or has the power to control the other, or a third party or parties controls or has the power to control both.

B. ☐ NON-PROFIT

I am an owner or an official of the following non-profit concern empowered to act on behalf of the concern identified below.

The non-profit organization identified below qualifies as a nonprofit organization as defined in 37 CFR 1.9(e) for purposes of paying reduced fees under section 41 (a) and (b) of Title 35, United States Code.

C. ☐ I am an individual inventor.

The inventor identified below qualifies as an independent inventor as defined in 37 CFR 1.9(c) for purposes of paying reduced fees under section 41(a) and (b) of Title 35, United States Code.

NAME OF CONCERN or INVENTOR: U.S. Genomics, Inc.
ADDRESS OF CONCERN or INVENTOR: 12 Gill Street, Woburn, MA 01801

D. ☐ Applicant is no longer a small entity.

☐ Applicant does not wish to claim small entity status in this application.

LIST OF OTHER CONCERNS HAVING RIGHTS IN THE INVENTION

If the rights held by the small business or nonprofit organization or individual inventor are not exclusive, each additional individual concern or organization having rights to the invention is listed below. **(If your rights are exclusive, then no such person, concern or organization should be selected.)**

☒ no such person, concern or organization
☐ persons, concerns or organizations listed below*


*NOTE: Separate statements are required from each named person, concern or organization having rights to the invention averring to their status as small entities.

FULL NAME
ADDRESS

☐ INDIVIDUAL ☐ SMALL BUSINESS CONCERN ☐ NONPROFIT ORGANIZATION

The concern or inventor identified above acknowledges the duty to notify the U.S. PTO of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28(b))

PRINTED NAME OF PERSON SIGNING: Stephen P. DeFalco
TITLE OF PERSON (if other than owner): Chairman and Chief Executive Officer
ADDRESS OF PERSON SIGNING: U.S. Genomics, Inc.
12 Gill Street, Woburn, MA 01801



Signature



Date